D11.1 – Quality Assurance Plan

Project Information

Grant Agreement Number	958454
Project Full Title	Intelligent Water Treatment for water preservation combined with simultaneous energy production and material recovery in energy intensive industries
Project Acronym	intelWATT
Funding scheme	IA
Start date of the project	1st October 2020
Duration	42 months
Project Coordinator	Andreas Sapalidis (NCSR)
Project Website	https://www.intelwatt.eu

Deliverable Information

Deliverable n°	D11.1
Deliverable title	Quality Assurance Plan
WP no.	11
WP Leader	NCSR
Contributing Partners	WG
Nature	Report
Authors	Andreas Sapalidis (NCSR)
Contributors	Elisa Alberti (WG)
Reviewers	Evangelos Kouvelos, Fotios Katsaros (NCSR)
Contractual Deadline	30/11/2020
Delivery date to EC	30/11/2020

Dissemination Level

PU	Public	✓
PP	Restricted to other programme participants (incl. Commission Services)	
RE	Restricted to a group specified by the consortium (incl. Commission Services)	
CO	Confidential, only for the members of the consortium (incl. Commission Services)	

Document Log

Version	Date	Description of Change
V1.0	18/11/2020	First release
V2.0	30/11/2020	Final document

Table of Contents

List of Figures

List of Tables

Definitions and acronyms

Acronym	Extended definition
CA	Consortium Agreement
CFS	Certificates on the Financial Statements
CT	Coordination Team
D&NM	Dissemination & Networking Manager
DoA	Description of Action
EC	European Commission
EC-GA	EC Grant Agreement
EMB	Executive Management Board
EM	Exploitation Manager
IP (R)	Intellectual Property (Rights)
PC	Project Coordinator
PM	Project Manager
PRM	Project Risk Manager
QAP	Quality Assurance Plan
SMB	Strategic Management Board
WP	Work Package

1 Executive Summary

The purpose of the Quality Assurance Plan (QAP) is to provide a single point of reference on the quality assurance processes that will govern during the implementation of the intelWATT project. This deliverable explains the project organization, procedures, roles and responsibilities related to the quality control and quality assurance activities that will be carried out.
 It describes how the project will manage day-to-day activities from a quality perspective, and ensures that their execution is continuously monitored, reviewed, corrected when necessary and improved based on standards, processes, and procedures that are defined in this document.

Additionally, it presents the initial risk management approach of the project for addressing and controlling all project risks. Moreover, this plan defines the roles and responsibilities of the organizations, the risks identification, as well as risk assessment and mitigation plans.
This document will to be used by all the project partners in order to ensure quality assurance of project processes and outputs, and prevent possible deviations from the project work plan and support the beneficiaries with communication standards in order to enable quick and efficient communication within the project consortium.

2 Introduction

This document is the Quality Assurance Plan prepared under the intelWATT project (G.A. n° 958454).

The aim of this deliverable is to describe the procedure used during the project life, in order to ensure the in time submission of high quality and ethically sound project deliverables. Quality in this project is a result of, amongst others, detailed planning of the activities, continuous communication between partners during decisions, promptly followed timetables, accurate alignment with schedules and punctual delivery of deliverables.

This document is also a guide to each individual participant of the project consortium to establish effective cooperation among the partners and ensure the quality reviews necessary at certain points through the project lifecycle. Mutual understanding of the partners' responsibilities, the project deliverables and activities according to DoA, would be the basis of this document as well.

In order to fulfil its function as a quick reference to frequently asked questions and potential problems, this document could be updated and changed according to the evolvement of procedures and progress during the lifetime of the project. The feedback of all partners to improve this handbook is appreciated by the Coordinator (PC) - Andreas Sapalidis (NCSR) – Email a.sapalidis@inn.demokritos.gr

It must be noticed that the handbook does not express the opinion of European Commission and does not in any case replace the European Commission documentation. This handbook expresses only the author's views -the Community is not liable for any use that may be made of the information contained therein.

2.1 Precedence

Quality Assurance Plan complements existing agreements, such as the EC Grant Agreement (EC-GA), the Description of Action (DoA) and the Consortium Agreement (CA). This document should be used as a reference by all project partners.

In any case, the Quality Assurance Plan does not replace any of these established agreements, nor does it replace any of the EC guidelines for project management, implementation, reporting and IPR.
Therefore, partners are advised to read carefully and follow all H2020 documentation and conform to the "Annotated Model Grant Agreement" and to the related "List of issues applicable to particular countries". Where there are any inconsistencies between these documents, the following order of precedence should be applied:
1. European Commission Grant Agreement (EC-GA) including Annex II (DoA)
2. Commission rules, e.g. as contained in Guidance Notes
3. Consortium Agreement (CA)
4. Quality assurance plan (present document)

Any issues related to precedence will be resolved by the Project Coordinator (PC) as required according to the procedures described in the GA and CA.

3 Main Objectives of the quality assurance approach

Quality assurance provides control to the project directions, ensuring that the management is of a high quality with respect to the nature of the project and that the project complies with the Description of

Action (DoA) and with relevant management standards and policies. The purpose of quality planning is to provide a solid basis for:

- Executive Management Board (EMB) agreements on the overall quality expectations, the means by which quality will be achieved and assessed, and ultimately, the acceptance criteria by which the project output will be judged
- Communicating clearly these agreements unambiguously so all project Partners have a common understanding of what the project is setting out to achieve
- Controlling, i.e. establishing an effective baseline for the projects quality controls and a secure means of achieving deliverables that are fit for purpose

This plan will be a guide for the project coordinator to be followed in order to ensure that the quality reviews occur at appropriate points in the project, and a reference for all project partners in order to understand their responsibilities, thus delivering high quality deliverables.

4 Description of work

The purpose of this document is to provide to intelWATT consortium with an overview of the most important project procedures (internal communication, project monitoring, reporting, financial management, external communication, etc.) of the Project in order to ensure efficient project execution, as well as high quality project results.

4.1 Project Main information

Hereafter is indicated the main need-to-know information related to the intelWATT project.

4.1.1 Project Data

Table 1 Project Data

General	Details
Grant Agreement Number:	958454
Acronym:	intelWATT
Title:	intelligent Water Treatment Technologies for water preservation combined with simultaneous energy production and material recovery in energy intensive industries
Duration:	42 months
Start date:	01/10/2020
End date:	31/03/2024
Total Cost:	EUR 12 515 265.25
Total EC contribution:	EUR 10 308 277.38
Topic:	CE-SPIRE-07-2020 Preserving fresh water: recycling industrial waters industry
Call:	H2020-LCCI-2020-EASME-singlestage
Funding scheme:	IA – Innovation Action

4.1.2 Project Consortium

Table 2 Project Consortium list

N°	Participant organization name	Short name	Country	Type
1	NATIONAL CENTER FOR SCIENTIFIC RESEARCH "DEMOKRITOS"	NCSR	Greece	RTO
2	CONSIGLIO NAZIONALE DELLE RICERCHE	CNR	Italy	RTO
3	CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE CNRS	CNRS	France	RTO
4	PUBLIC POWER CORPORATION S.A.	PPC	Greece	LE
5	WARRANT HUB SPA	WG	Italy	SME
6	TECHNISCHE HOCHSCHULE KOLN	TH KOLN	Germany	RTO
7	THE UNIVERSITY OF BIRMINGHAM	UoB	United Kingdom	RTO
8	POLITECNICO DI TORINO	POLITO	Italy	RTO
9	CUT MEMBRANE TECHNOLOGY GMBH	CUT	Germany	LE
10	BIA KUNSTSTOFF- UND GALVANOTECHNIK GESCHAFTSFUHRUNGS- GMBH	BIA Group	Germany	LE
11	FUELICS IDIOTIKI KEFALAIOUXIKI ETAIREIA	Fuelics	Greece	SME
12	STICHTING IHE DELFT INSTITUTE FOR WATER EDUCATION	IHE DELFT	Netherlands	RTO
13	STUDIO FIESCHI & SOCI SRL	Studio Fieschi	Italy	SME
14	TECHEDGE ESPANA SL	TECHEDGE	Spain	LE
15	ACSA OBRAS E INFRAESTRUCTURAS SAU	ACSA	Spain	LE
16	UNIVERSITY OF JORDAN	UJ	Jordan	RTO
17	REDSTACK BV	REDSTACK	Netherlands	SME
18	CENTRO DE INVESTIGACIONES ENERGETICAS, MEDIOAMBIENTALES Y TECNOLOGICAS-CIEMAT	CIEMAT	Spain	RTO
19	NIJHUIS WATER TECHNOLOGY BV	Nijhuis Water	Netherlands	SME
20	NOKIA LISEIS KAI DIKTIA ELLAS ANONIMI ETAIREIA	NOKIA GREECE	Greece	LE

4.1.3 Contacts

Table 3 Project Contacts

Role	Contact
Project Coordinator	Name Surname: Andreas Sapalidis email: a.sapalidis@inn.demokritos.gr
Project Manager	Name Surname: Stéphan Barbe email: stephan.barbe@th-koeln.de
Dissemination&Networking Manager	Name Surname: Isella Vicini email: Isella.vicini@warranthub.it
Project Risk Manager	Name Surname: Evangelos Kouvelos email: v.kouvelos@inn.demokritos.gr
Exploitation Manager	Name Surname: Thijs Wolbrink email: Thijs.wolbrink@nijhuisindustries.com
Administrative Expert and Communication Assistant	Name Surname: Sara Attanà email: sara.attana@warranthub.it

4.1.4 EC Officer

Table 4 EC Contacts

Role	Contact
Project Adviser	Name Surname: Ugo Miretti
EASME	Executive Agencies of the European Commission

4.1.5 Project Structures and WP

Hereafter is illustrated the project structure and WPs interdependencies. All information regarding project objectives, implementation, WPs, tasks and expected results is indicated in the EC-GA Annex I (DoA), which is the contractual reference for the project implementation.

4.1.6 Management Structure and bodies

The management structure aims at safeguarding the effective cooperation among the members of the Consortium and at producing high quality deliverables to the Commission during the various stages of the project life.

Hereafter is illustrated the management structure of the intelWATT Project.

Figure 1 intelWATT Management Structure
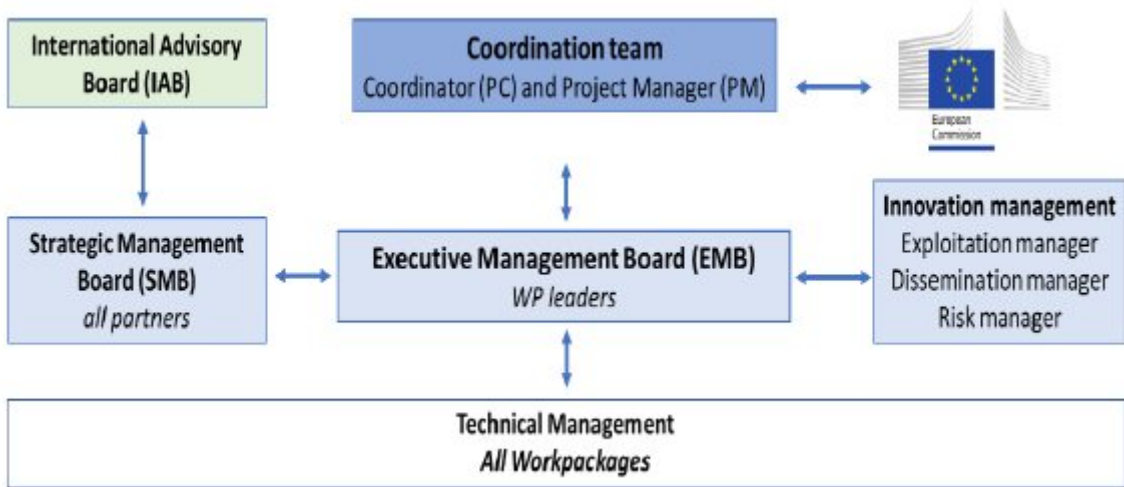
A brief overview of the various management bodies is described in paragraph below.

4.1.6.1 Coordination Team

Table 5 Coordination Team: tasks and members

Coordination Team		
Members	**Representative - Partner acronym**	**Task**
Project Coordinator (PC)	Andreas Sapalidis - NCSR	Responsible for the financial and technical-scientific management, administrative issues and day-to-day management of both the project and the consortium.

The PC will be responsible for monitoring that the action is implemented properly; acting as the intermediary for all communications between EC; requesting and reviewing any documents or information required by the EC and verifying their completeness and correctness before passing them on to the EC; submitting the deliverables and reports to the EC; ensuring that all payments are made to the other beneficiaries without unjustified delay; informing the EC of the amounts paid to each beneficiary, when required under the Agreement or requested by the EC |
| **Project Manager (PM)** | Stéphan Barbe - THK KOLN | PM will support the PC in day-to-day management, internal communications among partners for technical and scientific matters; support the PC with administrative issues |

4.1.6.2 Executive Management Board (EMB)

Table 6 Executive Management Board

Board	Task
Executive Management Board (EMB)	The EMB is responsible for the day-by-day technical project management activities. It is composed by the PC, PM and by WP leaders. In particular, the role of the EMB is to: • report on the progress towards the project's objectives; • monitor progresses, achievements and costs; • monitor the technical progress achieved in the project and take corrective measures, if necessary; • review internal work plans, especially those for a cross-WPs activities; • ensure deliverables and reports are of good technical quality, timely issued; • support the PC in case of a deadlock situation within any of the activities; • find solutions to the problems with potential impact on project implementation, resources and achievement of planned objectives, as well as definition of the necessary contingency plans; • coordinate common exploitation, dissemination, networking and training activities.

Table 7 Executive Management Board Members

Role	Partner Short Name	Representative
Project Coordinator	1 - NCSR	Andreas Sapalidis
Project Manager	6 - THK KOLN	Stéphan Barbe
WP1 leader	1 - NCSR	Andreas Sapalidis
WP2 leader	1 - NCSR	Fotios Katsaros
WP3 leader	8 - POLITO	Andrea Lamberti
WP4 leader	3 - CNRS	Mihail Barboiu
WP5 leader	1 - NCSR	Evangelos Kouvelos
WP6 leader	2 - CNR	Enrica Fontananova
WP7 leader	6 - TH KOLN	Stephan Barbe
WP8 leader	14 - TECHDGE	Fabio Cerioni
WP9 leader	13 - Studio Fieschi	Nicola Moro
WP10 leader	5 - WG	Isella Vicini
WP11 leader	1 - NCSR	Andreas Sapalidis

4.1.6.3 Open Innovation Management (IMB)

Open Innovation Management
• disclose new knowledge which could revolutionize our future technology;   • get ideas for process improvement & incremental innovation which accumulate to generate repeatable bottom-line results, e.g. non-destructive analytical techniques for in-line process monitoring;   • identify the core areas of technology innovation and understand the internal /external factors that foster such innovation or that, conversely, can limit its impact;   • stimulate collaborative working, it means to facilitate the partners from our network, beyond the consortium, to submit ideas and confront with our developments in order to improve the results and enhance their impact on the users' community.

Members	Representative name - Partner acronym	Task
EXPLOITATION MANAGER (EM)	Thijs Wolbrink - NI	The EM will support the PC on exploitation related issues. The EM has to be always updated on the S&T progresses of the project and of current IPR scenario in order to detect potentially exploitable results; to make sure that technological progress remains consistent with the industrial perspective and assist the PC to evaluate the impact of the project from an industrial point of view.
DISSEMINATION & NETWORKING MANAGER (D&NM)	Isella Vicini - WG	The D&NM will assist the PC and PM in the project communication and dissemination issues to ensure adequate impact and awareness on a wide target audience. The D&NM will be responsible to define strategies and tools and to ensure this will be reflected in the Plan for the Exploitation and Dissemination of Results (PEDR), to coordinate the networking task and the proper execution of stakeholders' consultation activities by regularly reporting to higher Boards on the progresses and results.
PROJECT RISK MANAGER (PRM)	Evangelos Kouvelos - NCSR	The PRM duty will be to prepare the periodic Risk Assessment and Management reports and to periodically refer to higher Boards on the effects of taken mitigation actions.

The Open Innovation Management Board identified the three main Members in the CA (see since the project has different topics and specialized issues) but during the KoM the need to identify additional members has emerged since the project has different topics and specialized issues.

Table 9 Open Innovation Management: additional members

Members	Representative name - Partner acronym	Topic
ADDITIONAL IMB MEMBER	Name Surname - partner acronym	Specify the main specialization topic
ADDITIONAL IMB MEMBER	Name Surname - partner acronym	
ADDITIONAL IMB MEMBER	Name Surname - partner acronym	

4.1.6.4 Strategic Management Board

Table 10 Strategic Management Board tasks

Board	Task
Strategic Management Board (SMB)	The SMB is the consortium's strategic decision-making and arbitration board of the project. The SMB supervises the development of the planned activities and defines the overall project strategy, taking into account the long-term interests of the project and the fulfilment of the Grant Agreement commitment. The SMB will be responsible for: • preparing contract changes (budget, resources, plans, etc), i.e. decide on Consortium Agreement (CA) amendments, suspension or termination of all or part of the project or project duration extension; • withdrawal and replacement of defaulting parties, or partnership enlargement and related project budget allocations; • the Consortium's budget and the financial allocation of EC's contribution among the various activities; • the annual validation of the realised expenditure in accordance to the budget; • the monitoring of external risks which may impair progress towards objectives, proposing strategies to address those risks; • manage conflict resolution on issues that have an impact on strategies, short-medium term objectives, resources and the project roll-out strategies; • any other issue related to modifications to the workplan, the Grant Agreement and the CA; • solve conflicts within the Consortium that could not be resolved otherwise by the PC and EMB. The SMB will also have a close follow-up of project risks, and it will propose how to deal with them according to the appropriate Risk Assessment Plan elaborated by the Risk Manager.

Table 11 Strategic Management Board Members

Strategic Management Board Members	
Partner Short Name	**Representative**
1 - NCSR	Fotios Katsaros
2 - CNR	Enrica Fontananova
3 – CNRS	Mihail Barboiu
4 - PPC	Christos Nyxtis
5 - WG	Isella Vicini
6- TH KOLN	Stephan Barbe
7 – UoB	Philip Davies
8 - POLITO	Andrea Lamberti
9 - CUT	Ines Bettermann
10 – BIA Group	Felix Heinzler
11 - FUELICS	Evangelos Angelopoulos
12 - IHE DELFT	Nirajan Dhakal
13 - Studio Fieschi	Ugo Pretato
14 - TECHEDGE	Fabio Cerioni
15 - ACSA	Beatriz Corco
16 - UJ	Rund Abu Zurayk
17 – REDSTACK	Jordi Moreno
18 - CIEMAT	Guillermo Zaragosa
19 - NIJHUIS WATER	Wilbert Menkveld
20 - NOKIA GREECE	Andreas Tzoulis

4.2 Internal Communication

Ensuring effective communication among the partners represents an important key of success for the management of the intelWATT Project. The communication strategy indeed pursues the objective to maintain all partners fully informed about planning, work in progress and existing or potential problems.

Besides the requested EC and Internal reporting, all partners are invited to actively communicate with WP Leaders about technical progresses and issues, as well as WP Leaders are invited to keep PC and PM updated about the activities.

All partners are invited to inform the PC of any Administrative and Legal issues arising.

PC and PM are at the partners' disposal for any technical and administrative information/issue.

4.2.1 Project collaborative space: EMDESK

A collaborative space for intelWATT Project has been set-up on the ©EMDESKPro Platform.
The collaborative platform is accessible:

- from the Project website: www.intelwatt.eu and
- directly from the following link: https://app.emdesk.com/#!/login

Access to the collaborative platform is controlled via a username and password. These are chosen by the invited users separately and are not included here in order to maintain privacy.
Each invited user will then be able to invite further members of its own entity that will need to be involved in administrative and technical reporting.
The ©EMDESK platform indeed supports the following activities:

- Project progresses controlling
- Resources and Costs controlling and reporting
- Report management and preparation
- Deliverable monitoring and management
- Document management
- Project Calendar management

Partners will be supported by WG in order to develop the necessary knowledge and skills to use the tool at best, allowing a smooth management of administrative and technical reporting tasks.
Detailed info about how to use the platform can be found on-line, at https://www.emdesk.com/.

4.2.2 Contacts

Contact details for all partners can be found in the dedicated area of the collaborative platform.
Each Scientific and Administrative person in charge has the responsibility to invite to the collaborative platforms the further contacts in its entity that will be involved in administrative and technical reporting, as well as keep the list of contacts updated with any necessary changes or additions, notifying the Coordination Team.

4.2.3 Mailing list

Mailing lists can be created with the contacts that upon invitation completed the registration in the platform.
The created mailing lists addresses can then be used by each partner with their own email provider. Each partner has the responsibility to periodically update the mailing lists he/she created, as well as inform WP Leaders and the CT of any changes and additions.

4.2.4 Emails netiquette

In order to help all partners to efficiently deal with intelWATT related communications, quickly recognizing the significance of an email and finding related messages, intelWATT related emails sent by private email provider should always include in the subject title, in the order:

- the name of the project (intelWATT)
- the number of the WP to which the communication is related (i.e. WP2)
- or an indication of the overall matter, among:
  - ADMIN – Administrative issues
  - TECH – Technical issues
  - IPR – IPR and Exploitation related issues
  - CT/EMB/SMB– reference to the one specific management board

- and an indication of the specific issue of the subject.

As examples:
- Subject: intelWATT – WP2 – contribution to D2.2
- Subject: intelWATT – ADMIN –procedure partner x
- Subject: intelWATT – EMB – meeting request

As a general rule files to be shared for the intelWATT Project activities should always be uploaded in the relevant area of the collaborative platform (see details in D11.2).

If strictly needed to send a file by email, the size of the attachment must be considered. When replying to an email with a file attachment, to avoid misunderstanding it must be ensured that the original attachment is deleted, unless it is still required. Finally, as a courtesy, all partners are invited to include contact details on every email sent.

4.3 Document Management

Documents can be stored and exchanged on the collaborative platform, using the collaborative platform EMDESK.

Important and institutional Project files are stored and maintained on the collaborative platform by the Coordination Team (e.g. EC-GA, CA, the current version of the DoA, etc.).

The collaborative platform already includes a folder structure organized in main categories. Partners shall not delete any of the existing folders or files but should add further sub-folders where relevant or needed.

Folders may also be created for storing temporary files where, for example, these are too large to circulate by email.

All detailed information about the collaborative platform EMDESK will be presented in D11.2.

4.3.1 Documents properties

When uploading files on the collaborative platform, to facilitate search and retrieval by all partners, it is important to insert them in an appropriate folder and apply permissions, assignments and properties.

All partners shall always tag uploaded documents or files with the reference to a specific WP, Task, Deliverable, Milestone or Report, as will be explained in D11.2. This will extremely facilitate search and retrieval of information.

4.3.2 File Naming and versioning

As for File Naming, in order to help all partners in quickly recognizing the documents, the guidelines below should be followed as much as possible.

The file name should (as appropriate):
1. first include the project acronym:
2. be descriptive of the contents of the document/file
3. include the short name of the partner that has created/last modified the document/file
4. indicate the date (*ddmmyear*) of issue or of reference of the document/file, if necessary
5. include, at the end, the version number – version numbers should start at 0.1 and be incremented just by the author of the document by 0.1 for minor revisions, and by 1.0 for major revisions/new releases

Document type	TENTATIVE OF SCHEDULING
MS Word Documentation	intelWATT_Dx.x_DeliverableNameTemplate.docx <ProjectName>_KoM_Agenda_V0.1.docx <ProjectName>_KoM_Minutes_V0.1.docx <ProjectName>_<Del.ID>_<PartnerAcronym>_<ddmmyy>_<VX.X> i.e.:"intelWATT_D11.1_NCRS_18112020_V1.0"
MS PowerPoint Presentation	intelWATT_event_Presentation.ppt
MS Excel-Financial Progress Report Template	intelWATT_FPR.xls

For clearance, when a document is issued for the first time, it has to be defined as a draft (version 0.x), if it requires formal approval. Usually, the approval process requires that a document will be circulated for comments among the interested partners. Upon receiving the comments by the specified deadline, the author will make the proper modifications, therefore changing the version sub-number, without affecting the main number. The main version number (the first figure before the ".") is increased by one unit only if a different version of the document is delivered to the EU Commission, or if major modifications have significantly altered the contents of the document. The editor must not forget to update the version number in all its occurrences in the document. In order to avoid distributing two different documents with the same version number, the right to changing the versioning number remains only to the author of the document. Every time a group of people is working on a document and is making modifications on it, the new version must contain a clear indication of what has been added, modified, or removed, and by whom. For this reason, every partner working on a document must use the "track changes" facility offered by most document editing tools.

4.4 Meetings

The procedures described in this section apply to all intelWATT meetings. Some important aspects referring to the CA are reminded, and some operative indications are given.
Specifically, meetings requirements for each Consortium Body have been established in Section 6 of the intelWATT CA.

Table 12 Next Periodic Technical Meetings

MONTHS FORESEEN IN GA	MEETING	TENTATIVE OF SCHEDULING	LOCATION
M6	1PTM	March, 2021	Remote Meeting
M12	2PTM	September, 2021	TBD
M18	3PTM	March, 2022	Same venue as Review Meeting
M24	4PTM	September, 2022	TBD
M30	5PTM	March, 2023	Same venue as Review Meeting
M36	6PTM	September, 2023	TBD
M42	7PTM	March, 2024	Same venue as Review Meeting

4.4.1 Participation

Any member of Consortium Body or any partner contributing to a WP or Task:
  a) Should be present or represented at any meeting of the related Board, WP or Task.
  b) May appoint a substitute (representative) to attend and vote at any meeting.
  c) Shall participate in a cooperative manner in the meetings.

Apart from the minimum required frequency of Management Bodies meetings that will be organized with physical attendance of the representatives, meetings can be held either at one place with physical attendance of the representatives, or as videoconference or call conference - as deemed appropriate.

4.4.2 Preparation and procedures

As a general rule, meetings will be organized by the representative of the hosting organization, in agreement with the Coordination Team.

Videoconferences or Conference Calls will be organized by the PM, the PC, the Board chairman, WP or task leaders, as appropriate.

The meeting appointments shall be created in the EMDESK calendar by the meeting organiser, by the notice time requested (*see table below*), both for physical meetings, remote meeting and call/videoconferences. When registering meetings and events in the EMDESK calendar, participants shall be added from the drop-down menu, and a notification by email sent by flagging the related dialog box. All meetings and events must also be flagged "Public", in order to allow the Coordination Team and all Consortium to see the appointment. Hereafter follows a recap of the different procedures per type of meeting. Extraordinary meetings may be requested at any time upon written request –as foreseen in intelWATT Consortium Agreement Art. 6.2.2

Table 13 Meetings Procedures

Meeting	Frequency	Notice	Agenda	Add item
Strategic Management Board (SMB)	At least twice a year	30 calendar days	15 calendar days	8 calendar days
Executive Management Board (EMB)	At least twice a year	15 calendar days	7 calendar days	2 calendar days
WP/task	One/month Video conference	ASAP	ASAP	ASAP
Video/Call conf.	Whenever necessary	ASAP	ASAP	ASAP

4.4.3 Agenda

A draft agenda will be prepared by the hosting organization and/or meetings chairman in accordance with the PC and PM.

The agenda shall be posted in the calendar as attachment to the meeting invitation when sending invitations to the meeting participants, and in any case by the necessary notice time, as indicated in *Table*

13 Meetings Procedures. If any change arises in the agenda previously shared, the participants of the meeting shall be promptly notified to go check the new version posted in the calendar.

4.4.4 Minutes

Keeping minutes for all project meetings is extremely important as they are a record of the decisions taken and the actions required by the partners in the project.
Meeting minutes will be concise and clear and will be prepared using the dedicated format, available in the collaborative platform and presented in D10.2.
It is the responsibility of the PM to take the minutes in collaboration with the chair of the meeting, i.e:

- for Consortium Bodies: the chairman of the specific Board
- for EMB: the PC, the WP Leader or Task Leader that summoned and managed the meeting.

As foreseen in CA, art 6.2.5, the minutes shall be shared with the partners added as attachment to the event posted in the collaborative platform calendar by 10 calendar days after the meeting for comments and approval of the attendants, as well as of the CT. If no comments are received within 15 calendar days, the minutes are automatically approved. If the minutes need to be updated, the updated and final file will be again attached by the author to the event posted in the collaborative platform calendar, and a notification shall be sent to the participants of the meeting and to the Consortium Body.

4.5 Project Reporting

The purpose of the project reporting is for the EC to review the performance of the project, be assured of value for money and that the project is on track for successful delivery. It is also for the Coordination Team to follow the technical progresses and use of resources, in order to ensure a smooth deployment of the project, and take corrective actions when necessary. Project reporting will be gathered using the EMDESK collaborative platform functionalities.

The partners shall use the reporting functionalities in the EMDESK collaborative platform (*Implementation > Reporting*) to insert technical and administrative reporting, and shall refer to the EC-GA Annex I (DoA) for the aims and objects of the WPs.

Contributions to the hereafter described reports will be collected by the Coordination Team well in advance of the deadline, in order to process the contributions, assemble the reports, review and approve them before the delivery deadline.

4.5.1 Reporting Calendar

The reporting calendar is indicated hereafter and is set in the dedicated section of the collaborative platform

Table 14 Reporting Calendar schedule

Report Name	Delivery Date
Periodic Report M1 - M18	M18 => M20
Periodic Report M19 – M30	M30 => M32
Periodic Report M31 – M42	M42 => M44
Final Report M1 – M42	M42 => M44

It is important to note that a tentative scheduling for review has been included in the EC-GA Annex I (DoA) as here below.

These dates could be subject to change based on the flexibility and availability of the Project Officer and the selected reviewers therefore they will be confirmed.

Any updates to this schedule will be made available on the collaborative platform (Implementation > Reporting), as appropriate.

4.5.2 Internal Resources progress reports

4.5.2.1 Purpose

The objective of the Resources Progress Reports is to ensure that project spending is continuously in sync with technical project progress as well as to track both spending and technical progress to the plan of record as described in the EC-GA Annex I (DoA). Moreover, Resources Progress Reports are of great use to the partners and the Coordination Team to then prepare Periodic Reporting.

Please note that Resources Progress Reports are Internal reporting, meaning that they will not be sent to the European Commission.

4.5.2.2 Responsibilities and Components

All partners shall register every six (6) months the effort spent by task, with a related description of the work performed, in the dedicated section of the collaborative platform.

At the same time, all partners are strongly advised to update the Costs Details reporting, with figures of expenditure and related descriptions in the dedicated section of the collaborative platform.

These six-monthly updates should be as accurate as possible and shall be based on and correspond to each Partner's Time-recording mechanism or Timesheets (*which are a requirement of the EC for tracking Personnel Costs, but are not to be collected by the Coordinator at any time during the project*).

4.5.2.3 Procedure and Timing

All partners provide their Resources Progress Reports and update their Costs Details on the collaborative platform by 15 calendar days after the end of the reporting period (related to the previous 6-months' effort and costs).

The Coordination Team will monitor the resources data inserted by the partners. In case of anomalies, the partners will be contacted to verify the status.

In case, during the lifetime of the project, relevant discrepancies from planned resources are detected and not adequately justified by the involved partner, the issue will be brought to the Coordination Team's and then to the Strategic Management Board's attention for analysing the partner performance and take corrective actions if necessary.

4.5.3 Periodic Reports (to EC)

4.5.3.1 Purpose

The aim of Periodic Reports is for the EC to ensure that project spending is in sync with technical project progress as well as to track scientific, technical and spending progress to the work-plan as described in the EC-GA Annex I (DoA).

The report is officially delivered by the PC to the European Commission as per the EC-GA Section 2 (Art. 20).

4.5.3.2 Components

According to the template proposed by the EC, the Periodic Report consists of the following items:

- **Periodic Technical Report – Part A**
  Part A of the periodic technical report contains the cover page, a publishable summary and the answers to the questionnaire covering issues related to the project implementation and the economic and social impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements. Part A is generated by the EC-IT system. It is based on the information entered by the participants through the periodic report and continuous reporting modules of the electronic exchange system in the Participant Portal. The participants can update the information in the continuous reporting module at any time during the life of the project.

- **Periodic Technical Report – Part B**
  Part B of the periodic technical report is the narrative part that includes explanations of the work carried out by the beneficiaries during the reporting period. Part B needs to be uploaded as a PDF document following the template of Part B Periodic Technical report.

- **Periodic Financial Report**
  The periodic financial report consists of:
  - Individual financial statements (Annex 4 to the GA) for each beneficiary
  - Explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary for the reporting period concerned
  - A periodic summary financial statement including the request for interim payment.

More details on the reporting requirements can be found in the "Annotated Model Grant Agreement".

4.5.3.3 Reporting Responsibilities

The PM, with the support of the PC, is responsible for assembling and delivering the Periodic Reports, based on the data and contributions provided by the Partners.
To facilitate collection of the data, WP leaders will be in charge of contributing to the scientific/technical parts of the Report, and WP Leaders in turn will demand inputs from the WP participants.

Table 15 Reporting Responsibilities

Periodic Technical Report – PART A		
Paragraph	Responsibility	
	Input from and Compilation by	Review and submission by
Summary of the context and overall objectives of the project	Inputs from WP Leaders, PM and PC	PC/PM
Work performed from the beginning of the project to the end of the period covered by the report and main results achieved so far	Inputs from Task Leaders, compilation by WP Leaders	PC/PM
Progress beyond the state of the art and expected potential impact (*including the socio-economic impact and the wider societal implications of the project so far*)	Inputs from Task Leaders, compilation by WP Leaders	PC/PM
Deliverables and Milestones tables	Inputs from all Beneficiaries	PC/PM

	involved in the task, compilation by WP Leaders Deliverables and Milestones Lead Beneficiaries	
Critical implementation risks and mitigation actions tables	Inputs from Task Leaders, compilation by WP Leaders	PC/PM
Dissemination and Exploitation of results tables	Inputs from all Beneficiaries, compilation by EM+D&NM	PC/PM
Impact on SMEs	Inputs and compilation by each Beneficiary	PC/PM
Gender	Inputs and compilation by each Beneficiary	PM

Table 16 Periodic Technical Report – PART B

Periodic Technical Report – PART B		
	Responsibility	
Paragraph	**Input from and Compilation by**	**Review and submission by**
Explanation of the work carried out by the beneficiaries and Overview of the progress	Inputs from Task Leaders, compilation by WP Leaders	PC+PM
Objectives	Compilation by PC	PC+PM
Explanation of the work carried per WP	Inputs from Task Leaders, compilation by WP Leaders	PC+PM
Impact	Inputs from All Beneficiaries and compilation by PM	PC+PM
Project Management during the period	PM	PC+PM
Update of the plan for exploitation and dissemination of result (*if applicable*)	Inputs from all Beneficiaries compilation by D&NM + EM	PC+PM
Update of the plan for exploitation and dissemination of result (*if applicable*)	Inputs from all Beneficiaries compilation by D&NM + EM	PC+PM
Follow-up of recommendations and comments from previous review(s) (*if applicable*)	All Beneficiaries and compiled by PC + PM	PC
Deviations from Annex I	Compilation by PM	PC
Deviations (tasks)	Inputs from Task Leaders, compilation by WP Leaders	PC+PM
Deviations (resources)	Inputs from each Beneficiary, compilation by PM	PC+PM
Deviations (subcontracting)	Inputs from each Beneficiary, compilation by PM	PC+PM
Deviations (in-kind contribution)	Inputs from each Beneficiary, compilation by PM	PC+PM

Table 17 Periodic Financial Report

Periodic Financial Report	
Section	Responsibility
Explanation of the use of the resources	Compiled by each partner when filling in the costs details and the Individual Financial Statements on the basis of the info uploaded on the collaborative space
Financial statements	Provided by all partners to the PC through the EC electronic system
Periodic Summary Financial Statements	Provided by the EC electronic system
Any required Certificate on the Financial Statement or CFS (Audit Certificates)	To be provided by each partner as adequate.

4.5.3.4 Procedure

Periodic Reports have to be submitted at the end of each reporting period. The submission of the Periodic Report is electronic, by the Research Participant Portal.

Signed Individual Financial Statements and Certificates on Financial Statements must also be delivered electronically.

The submission to the EC will be done by the PC for both.

Contribution shall be provided:

- Scientific/Technical content: by WP Leaders, Deliverables and Milestones Lead Beneficiaries, PC and PM on the collaborative platform.
- Info about Dissemination and Exploitation Activities: by all partners on the collaborative platform
- Administrative data and documents: by all partners on EMDESK and then on the Participant Portal as regards the Individual Financial Statements and the related Explanations on the use of resources.

4.5.3.5 Timing

The Report will have to be prepared well in advance, in consideration of the project complexity. Therefore deadlines for each component of the report are set in the collaborative platform, in order to allow preparation and delivery of the contributions in time.

As a general rule, the contributions shall be provided by WP Leaders and all partners at the latest by 15 calendar days after the end of the reporting period.

Individual Financial Statements shall be submitted to the PC through the Participant Portal (SYGMA) within maximum 20 calendar days. (see Section 4.6.6).

This will then allow the Coordination Team to gather and analyse the data and contributions, assemble and write the report, eventually make a loop of review with the involved WP Leaders and partners, and then deliver the Report to the EC at the latest by the deadline of 60 days after each period, according to the EC-GA Section 2 (Art. 20).

4.5.4 Exception to the Periodic Report: 3-months Technical Progress (Interim) Reports

4.5.4.1 Purpose

Internal Technical Progress (Interim) Reports on a 3-months basis will be prepared by the WP Leaders, with the specific purpose of keeping track of the technical and spending progress to the work-plan as described in the EC-GA Annex I (DoA), in consideration of the project's complexity and dimension.

4.5.4.2 Components

The 3-month Technical Progress Reports will be composed of the same sections as the Periodic Report above described.

This will greatly help the project partners, WP Leaders and Coordination Team in following activities up with regularity, facilitating then the collection of information for the Periodic Reports.

4.5.4.3 Responsibilities

Responsibilities are distributed as for the Periodic Report above described (Section **Σφάλμα! Το αρχείο προέλευσης της αναφοράς δεν βρέθηκε.**).

As a difference, this report will not include any Financial Statement or Certificate on the Financial Statement (CFS).

It will nevertheless include a cost table assembling all 6-monthly updates of Resources Progress Reports and Costs Details from all partners, as inserted in the collaborative platform.

4.5.4.4 Procedure

3-months Technical Progress Reports will be prepared as soon as the period is ended, with the same modalities and procedure as the Periodic Report above described.

4.5.4.5 Timing

Deadlines are set in the collaborative space calendar, in order to allow preparation and delivery of the contributions in time.

As a general rule, the contributions shall be provided by the WP Leaders and all partners <u>at the latest by 15 calendar days after the end of the reporting period</u>.

The Coordination Team will then gather and analyse the data and contributions, assemble the report, make a loop of review with the involved WP Leaders and all partners, at the latest by the same deadline of 60 days after the end of each period, as the Periodic Report.

4.6 Financial Statements

4.6.1 Basic Principles

A few basic principles about financial statements and related book keeping must be considered.

But please consider that the following indications are <u>not exhaustive</u>.

<u>All beneficiaries are responsible for adherence to the guidelines</u>, thus they are highly invited to consult the "Annotated Model Grant Agreement" for reference on financial issues, eligible costs and cost claims.

4.6.1.1 Accounting System

Please consider that as stated in the Annotated Model Grant Agreement (art.6.1.a):

The beneficiaries must be able to show (with records and supporting documents) the actual costs of the work, i.e. what was actually paid for the work (and for depreciation costs: what is actually recorded in the beneficiary's profit and loss accounts).

Costs must be calculated according to the applicable accounting rules of the country in which the beneficiary is established and according to the beneficiary's usual cost accounting practices.

> *Example: if a beneficiary always charges a particular cost as an indirect cost, it must do so also for H2020 actions, and should not charge it as a direct cost.*

This may NOT be used as an excuse for non-compliance with other GA provisions. A beneficiary must make any changes needed to bring its usual cost accounting practices in line with all GA provisions.

> *Examples: conditions for calculation of productive hours; conditions for the eligibility of depreciation costs (in line with the international accounting standards, which may deviate from the accounting rules of the country).*

Accounting documentation is necessary only for direct costs. Indirect costs do not need supporting evidence because they are declared using a flat-rate.

All partners are highly advised to make sure that in the first months of the project at least a specific "driver" for keeping track of intelWATT related costs is provided for in the accounting system by their administrative department, in order to make financial statements compiling and auditing easier.

4.6.1.2 Eligible Costs

In order to be 'Eligible costs', actual costs should be:

- actually incurred by the beneficiary
- incurred during the duration of the project, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report
- indicated in the estimated budget set out in Annex 2 to the EC-GA
- incurred in connection with the action as described in Annex 1 to the EC-GA and necessary for its implementation
- identifiable and verifiable, in particular recorded in the beneficiary/Third Party's accounts in accordance with the accounting standards applicable in the country where the beneficiary/Third Party is established and with the beneficiary/Third Party's usual cost accounting practices
- compliant with the applicable national law on taxes, labour and social security, and
- reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency

The budget categories that are usually considered eligible include:

- direct personnel costs
- direct costs of subcontracting
- other direct costs, that include:
  - travels and related subsistence allowances
  - durable equipment
  - consumables
- indirect costs

'Direct costs' are costs that are directly linked to the action implementation and can therefore be attributed to it directly. They must not include any indirect costs.

'Indirect costs' are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it. In practice, they are costs whose link to the action cannot be (or has not been) measured directly, but only by means of cost drivers or a proxy (i.e. parameters that apportion the total indirect costs (overheads) among the different activities of the beneficiary).

The PC can advise on issues related to the eligibility of costs, and on the purchase of equipment/consumables/other types of expenditures.

Details on the different categories are given in the "Annotated Model Grant Agreement".

Hereafter just a few reminders on main issues related to the major costs categories are indicated.

4.6.1.2.1 Personnel

Personnel costs are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action ('costs for employees (or equivalent)'). They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the remuneration, if they arise from national law or the employment contract (or equivalent appointing act).

Beneficiaries that are non-profit legal entities may also declare as personnel costs additional remuneration for personnel assigned to the action.

Thus, the beneficiaries may declare the following types of costs as 'direct personnel costs':

- costs for employees (or equivalent):
  o basic remuneration (basic salary and complements) and
  o for non-profit legal entities: additional remuneration ('bonus payments') for personnel assigned to the action (including payments on the basis of supplementary contracts regardless of their nature), if:
    a) it is part of the beneficiary's usual remuneration practices and is paid in a consistent manner whenever the same kind of work or expertise is required;
    b) the criteria used to calculate the supplementary payments are objective and generally applied by the beneficiary, regardless of the source of funding used.

  Additional remuneration for personnel assigned to the action is eligible up to the following amount:
    a) if the person works full time and exclusively on the action during the full year: up to EUR 8 000;
    b) if the person works exclusively on the action but not full-time or not for the full year: up to the corresponding pro-rata amount of EUR 8 000, or
    c) if the person does not work exclusively on the action: up to a pro-rata amount calculated as follows:

    {{EUR 8 000 divided by the number of annual productive hours (see below)}, multiplied by the number of hours that the person has worked on the action during the year}.

- costs for natural persons working under a direct contract with the beneficiary other than an employment contract if
  o the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
  o the result of the work carried out belongs to the beneficiary, and
  o the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.
- costs for personnel seconded by a third party
- costs for beneficiaries that are SMEs for their owners not receiving a salary if they correspond to the amount per unit set out in Annex 2 of the EC-GA multiplied by the number of actual hours worked on the action.
- if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

TIMESHEETS

Only the hours worked on the project can be charged and have to be indicated in the 6-monthly Resources Reports.

The records for personnel costs depend on whether the person worked exclusively for the action or not.

For persons who work exclusively for the action (regardless if they are full-time or part-time employees), the beneficiary may either:

- sign a 'declaration on exclusive work for the action' (one per reporting period), to confirm that the person worked exclusively for the action;
- keep time records.

For persons who do NOT work exclusively for the action, the beneficiaries must:

- show the actual hours worked, with reliable **time records** (*i.e. time-sheets*) either on paper or in a computer-based time recording system.

  Time records must be dated and signed at least monthly by the person working for the action and his/her supervisor.

  If the time recording system is computer-based, the signatures may be electronic (i.e. linking the electronic identity data *(e.g. a password and user name)* to the electronic validation data, with a documented and secure process for managing user rights and an auditable log of all electronic transactions).

  Time records should include:

  - the title and number of the action, as specified in the GA
  - the beneficiary's full name, as specified in the GA
  - the full name, date and signature of the person working for the action
  - the number of hours worked for the action in the period covered by the time record; for reasons of assurance and legal certainty it is highly recommended that the number of hours is detailed per day (hours worked for the action in each day)
  - the supervisor's full name and signature
  - a reference to the action tasks or work package described in Annex 1, to easily verify that the work carried out matches the work assigned and the person-months reported to the action
  - a brief description of the activities carried out, to understand and show what work was carried out.

  Information included in time-sheets must match records of annual leave, sick leave, other leaves and work-related travel.

  A template for time-sheets is proposed by the EC. This template is not mandatory; beneficiaries may use their own model, provided that it fulfills the minimum conditions and it contains at least the information detailed above.

CALCULATION OF PERSONNEL COSTS

Personnel costs must be calculated by the beneficiaries as follows:

{{hourly rate multiplied by number of actual hours worked on the action}, plus for non-profit legal entities: additional remuneration to personnel assigned to the action under the conditions set out above}.

The number of actual hours declared for a person must be identifiable and verifiable (see previous paragraph).

The total number of hours declared in EU or Euratom grants, for a person for a year, cannot be higher than the annual productive hours used for the calculations of the hourly rate. Therefore, the maximum number of hours that can be declared for the grant are:

{number of annual productive hours for the year minus total number of hours declared by the beneficiary, for that person for that year, for other EU or Euratom grants}.

The 'hourly rate' is one of the following:

- <u>for personnel costs declared as actual costs</u>: the hourly rate is the amount calculated as follows:

    {actual annual personnel costs (excluding additional remuneration) for the person divided by number of annual productive hours}.

The beneficiaries must use the annual personnel costs and the number of annual productive hours for each financial year covered by the reporting period concerned. If a financial year is not closed at the end of the reporting period, the beneficiaries must use the hourly rate of the last closed financial year available.

For the 'number of annual productive hours', the beneficiaries may choose one of the following:

- 'fixed number of hours': 1 720 hours for persons working full time (or corresponding pro-rata for persons not working full time);
- 'individual annual productive hours': the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

    {annual workable hours of the person (according to the employment contract, applicable collective labour agreement or national law) plus overtime worked minus absences (such as sick leave and special leave)}.

'Annual workable hours' means the period during which the personnel must be working, at the employer's disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.

If the contract (or applicable collective labour agreement or national working time legislation) does not allow to determine the annual workable hours, this option cannot be used;

- 'standard annual productive hours': the standard number of annual hours generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the 'standard annual workable hours'.

    If there is no applicable reference for the standard annual workable hours, this option cannot be used.

For all options, the actual time spent on parental leave by a person assigned to the action may be deducted from the number of annual productive hours.

- <u>for personnel costs declared on the basis of unit costs</u>: the hourly rate is one of the following:
    - for SME owners or beneficiaries that are natural persons: the hourly rate set out in Annex 2, or
    - for personnel costs declared on the basis of the beneficiary's usual cost accounting practices: the hourly rate calculated by the beneficiary in accordance with its usual cost accounting practices, if:
- a) the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
- b) the hourly rate is calculated using the actual personnel costs recorded in the beneficiary's accounts, excluding any ineligible cost or costs included in other budget categories. The actual personnel costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating the personnel costs, reasonable and correspond to objective and verifiable information;

    and

c) the hourly rate is calculated using the number of annual productive hours (see above).

4.6.1.2.2 Subcontracting

As a general rule beneficiaries must have the capacity to carry out the work themselves. Subcontracting is a derogation to this rule and is limited to specific cases indicated in EC-GA Annex I (DoA).

Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted.

The tasks to be implemented and the estimated cost for each subcontract must be set out in EC-GA Annex 1 and the total estimated costs of subcontracting per beneficiary must be set out in EC-GA Annex 2. The Commission may however approve subcontracts not set out in Annex 1 and 2 without amendment, if:

- they are specifically justified in the periodic technical report and
- they do not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

Specific cases:

Subcontracting between beneficiaries — Is NOT allowed in the same GA. All beneficiaries contribute to and are interested in the action; if one beneficiary needs the services of another in order to perform its part of the work it is the second beneficiary who should declare the costs for that work.

Subcontracting to affiliates — Is NOT allowed, unless they have a framework contract or the affiliate is their usual provider, and the subcontract is priced at market conditions. Otherwise, these affiliates may work in the action, but they must be identified as linked third parties under EC-GA Article 14 and declare their own costs.

Coordination tasks of the coordinator (e.g. distribution of funds, review of reports and others tasks listed under EC-GA Article 41.2(b)) — Can NOT be subcontracted. Other activities of the coordinator may in principle be subcontracted.

Framework contracts or subcontracts — Framework contracts can be used for selecting a provider if this is the usual practice of the beneficiary (e.g. for a type of service). In order to be eligible, the framework contract must (have) be(en) awarded on the basis of best-value-for-money and absence of conflict of interest. The framework contract does not necessarily have to be concluded before the start of the action.

4.6.1.2.3 Third parties

Costs incurred and declared by Third Parties must be recorded in the accounts of the Third Parties themselves.

4.6.1.2.4 Durable equipment

The beneficiaries may declare the following types of equipment costs as 'other direct costs – equipment costs':

- depreciation costs of equipment, infrastructure or other assets
- costs of renting or leasing of equipment, infrastructure or other assets
- costs of equipment, infrastructure or other assets contributed in-kind against payment.

CALCULATION OF DEPRECIATION

Depreciation costs must be calculated according to the following principles:

- the depreciable amount (purchase price) of the equipment must be allocated on a systematic basis over its useful life (i.e. the period during which the equipment is expected to be usable). If the

equipment's useful life is more than a year, the beneficiary can NOT charge the total cost of the item in a single year

- depreciated equipment costs can NOT exceed the equipment's purchase price
- depreciation can NOT be spread over a period longer than the equipment's useful life
- only the part of the equipment's 'full capacity' actually used for the action may be declared (i.e. time used for the action and, in case of shared use, the percentage of actual use for the action). If the beneficiary does not use the equipment exclusively for the action (or if it does not use it for its full capacity), the time that the equipment has been used for the project must be recorded
- the beneficiary can NOT charge depreciation for periods before the purchase of the equipment

The depreciation costs must be calculated for each reporting period.

Specific cases:

Depreciation costs for equipment used for the action, but bought before the action's start — If the equipment has not yet been fully depreciated according to the beneficiary's usual cost accounting practices, the remaining depreciation costs may be eligible (only for the portion corresponding to the action duration and for the rate of actual use for the action).

Prototype or pilot plant (constructed as part of the action tasks) — Normally beneficiaries may only declare the depreciation costs for equipment, infrastructure or other assets that are used for the project. (Full) Construction costs (of a prototype or pilot plant) may however exceptionally be eligible as 'equipment costs', if all of the following apply:

- building the prototype or pilot plant is part of the action tasks (i.e. described in Annex 1 of the EC-GA)
- the costs are foreseen in the estimated budget (Annex 2 of the EC-GA)
- the cost eligibility conditions of EC-GA Articles 6.1 and 6.2 are met (in particular, recorded in the beneficiary's accounts in accordance with the national accounting standards and with the beneficiary's usual cost accounting practices).

4.6.1.2.5   Costs of other goods and services

This budget category covers the costs for goods and services that were purchased for the action (or contributed in-kind against payment), including:

- costs for consumables and supplies (e.g. raw materials etc.)
- costs for travels: actual travel and related subsistence costs relating to the project may be considered as direct eligible costs, providing they comply with the beneficiary's usual practices and are adequately recorded, like any other cost. There is no particular distinction regarding the eligibility of costs incurred for travelling outside or in Europe. It is in any case needed to ask the Project Officer authorization to participate to international events outside of the EU and have the related costs recognized. Travel costs must be needed for the work in the project, or for activities related to it (e.g. presentation of a paper explaining the results of the project in a conference). Travel costs related to a conference where no specific project-related work will be performed or presented by the beneficiary would not be eligible. Where it is the usual practice of the partner to consider travel costs as indirect costs, they cannot be charged as direct eligible costs, but only as indirect costs. On the other hand, if the contractor considers this category of costs on a direct basis, the same category (other travel and subsistence costs not attributed directly to projects) cannot be charged as indirect costs.
- dissemination costs (including regarding open access during the action, e.g. article processing or equivalent charges), costs related to data maintenance or storage and conference fees for presenting project-related research

- costs related to intellectual property rights (IPR) (including costs to protect the results or royalties paid for access rights needed to implement the action)
- costs for certificates on financial statements (CFS) and certificates on methodology (unless unnecessary, for instance because the EU or Euratom contribution is below the threshold of Article 20.4) or the certificate was submitted not for the final report but before).
- translation costs (if translation is necessary for the action's implementation, is justified, etc.).

4.6.1.2.6 **VAT**

<u>Deductible VAT is not an eligible cost</u>.

'Deductible VAT' means VAT that is recoverable under the national 'VAT system' (i.e. the system of collection and deduction under the national VAT legislation). Such VAT is not a genuine and definitive cost and, according to accounting standards, should not be recorded as such. Therefore, it is not actually incurred by the beneficiary. The cost and revenue accounts should exclude deductible VAT; such VAT should be recorded in separate payable or receivable accounts, without effect on revenue or cost line items.

Conversely, <u>if VAT is NOT deductible, it is an eligible cost.</u>

4.6.1.3 **Documentation**

Partners must ensure that they retain a full audit trail of all documentation for any expenditure made and claimed in the project.

Examples of the types of evidence required by category are indicated in the table below:

Table 18 Types of evidence required for cost category

Status	Generation phase
Personnel	- Employment contracts (or other independent/legal justification of personnel costs claimed) - Ledgers / accounts, payroll records / bank statements - Time sheets - Detailed breakdown and justification of the productive hours denominator used for calculation of hourly rates (personnel and overhead) costs and the back-up documentation - Analysis, reconciliation and summary of final breakdown of overhead costs (by category of expense) charged to the project(s)
Equipment / Consumables/ Other costs	- Invoices - Proof of payment - Procurement documentation - For rented equipment: Rental contract, inventory list of the equipment; proof of the investment values of the rented equipment
Travels	- Expense account - Invoices and receipts - Records, minutes etc. indicating purpose and participants of the meetings / events

Status	Generation phase
General Ledger / Management accounts	• Extracts and reconciliations of costs claimed back to underlying accounting records/general ledger to verify costs claimed and their eligibility • Bank statements
Certificate on Financial Statements	• Copies of any auditor certification statements issued with a claim for cost reimbursement • Invoices • Proof of Payment

4.6.2 Guidelines

All partners are responsible for their own cost claims. In order to avoid mistakes and related delays in the EC funding payments, all partners are invited to attentively verify the detailed indications on eligible and non-eligible costs in the "Annotated Model Grant Agreement."

If any question arises on the financial guidelines or any specific issue, please refer to the Coordination Team for advice or eventual follow-up with the Project/Financial Officer through the coordinator.

4.6.3 Cost Claims

Costs are claimed to the EC through the Financial Statements - an official form that describes cost declarations for a Beneficiary in a consortium. It contains information such as:

- Information about the partner: the data must correspond to the information indicated in the EC-GA – in case changes have occurred a duly signed letter informing of such changes must be attached
- The declaration of costs divided by cost category
- The declaration of receipts
- The declaration of cost details (cost, explanation, work package)
- The requested EC contribution
- The optional certificate on the methodology: this section is only to be completed by Partners that have presented a certificate on the methodology declaring average personnel costs and indirect costs.
- The optional certificate on financial statements (CFS): If a CFS is required, partners must list the name of the auditor and cost of the certificate.

4.6.3.1 **Funding rate**

Horizon 2020 calls have different types of action (funding schemes) which specify the scope of what is funded, the reimbursement rate and the specific evaluation criteria to qualify for funding.

Here follows a table illustrating the H2020 types of actions foreseen for the collaborative projects and their funding rates.

Table 19 Funding rates

Type of Action	EU Funding Rate
Research and Innovation Actions (RIA)	100% for all beneficiaries and linked third parties
Innovation Actions (IA)	100% of the eligible costs of the beneficiaries and the linked third parties that are non-profit legal entities And 70% of the eligible costs of the beneficiaries and the linked third parties that are profit legal entities

The intelWATT Project belongs to the Innovation Actions category.

4.6.3.2 <u>Common Errors in cost claims</u>

The EC analysed the most common errors in cost claims and inferred that the majority of mistakes are derived from not enough attention to the details of the provisions of the EC-GA and the financial guidelines, as well as misinterpretation.

All partners are therefore strongly advised to provide their administrative department with the whole set of documents related to the EC-GA (available in the collaborative platform at: *Documents > Document Manager > GA*).

Since the most common mistakes occur in the following domains:

- Costs claimed that are not substantiated or are not linked to the project
- Third parties and sub-contracting
- Depreciation of durable equipment
- Personnel costs - calculation of productive hours
- Personnel costs - charging of hours worked on the project
- Personnel costs - Use of average personnel costs
- Payment of salaries to owner/managers of SMEs
- VAT

All partners are invited to verify within their administrative department that these issues are being adequately addressed, as for the "<u>How to avoid errors when claiming costs in H2020 grants</u>", until forthcoming updates.

4.6.4 Certificate on the Financial Statements and Certificate on the Methodology

As indicated in the "Annotated Model Grant Agreement":

> *Each beneficiary [and each linked third party] must certify that: a* ***'certificate on the financial statements'*** *(drawn up in accordance with Annex 5) for each beneficiary [and for each linked third party], if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2, Point A of the General MGA).*

This certificate must be forwarded in the form of a detailed description verified as factual by its external auditor and drawn up in accordance with EC-GA Annex 5.

In addition to this, the beneficiaries and linked third parties may submit to the Commission, for approval, a certificate (drawn up in accordance with EC-GA Annex 6) stating that their usual cost accounting practices comply with these conditions ('certificate on the methodology'). If the certificate is approved, costs

declared in line with this methodology will not be challenged subsequently, unless the beneficiaries have concealed information for the purpose of the approval.

All certificates must be prepared and submitted directly in the electronic exchange system, through the Participant Portal.

For further indications about CFS and COM(AV), please check the Online Manual Guide.

4.6.5 Procedure

4.6.5.1 **Financial Statements**

Cost claims will be submitted to the EC through the form for the Financial Statements, that will be available in the functionality of periodic reporting in the Participant Portal Grant Management Service only following the end of each reporting period.

A partner can only view their own Financial Statements; other partners' Financial Statements are hidden.

Once the Financial Statements form is filled in and saved, the partner requests the PC authorization to sign it. When the partner submits its Financial Statements to the PC, it will be read-only. The PC can either accept or reject the document. In the last case, it becomes again editable for the partner.

When the signed and submitted Financial Statements of all partners are available, they can be submitted to the EC by the Coordinator.

4.6.5.1.1 **Completion of the Financial Statements**

Following the end of each reporting period, partners can access their Financial Statements form through the following procedure:

1) Login to the Research Participant Portal with your ECAS credentials (see the "login" button at the top right of the page) - if you do not already have an ECAS account, you can create it at the ECAS registration page.
2) Go to "My Projects" area (from menu at the left top of the page), where a table with a row dedicated to intelWATT is available – if you cannot see it, please write to the PC and the PM so that they can include you as Participant Contact (PaCo) for your organization[1]
3) Click on the "Manage Project" (MP) symbol.
4) Click on the "Periodic Reporting data" symbol that will be displayed in the window that will be opened
5) Click then on the "Financial Statements" tab at the top of the page
6) Select your organization in order to display the form you should fill in.

Data exported in the EMDESK Actual Costs.xls file for your entity will have to be reported in the on-line Financial Statements form. Please consider that not only the main form, but also the **Explanation of the Use of Resources** must be filled in.

Indeed, partners shall provide in the Financial Statements details on costs incurred such as important equipment purchases, major travel costs, large consumable items, justifying their necessity for the project and linking them to a specific WP. These details have to be entered clicking on the cells in the Financial Statements form online and adding the data in the form that is automatically opened.

---

[1] Please note that Participant Contacts can see and edit roles in the project (for their own organization) clicking on the "Project Consortium" symbol at intelWATT row, and then on the name of their organization. Further indications on roles and access rights are available at:
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/user-account-and-roles/roles-and-access-rights_en.htm

Please note that you can both Cancel the action, or Save or Delete the Form, as needed.

4.6.5.1.2   Signature and submission of the Financial Statement

Final Financial Statement must be signed electronically through the Participant Portal Grant Management Service by the authorized persons – the Financial Signatory (FSIGN) - within the beneficiary's organization, only once the PM and PC give approval on the draft.

The FSIGN can simply sign it clicking on the related command that just he/she can visualise and confirming his/her ECAS username and email and that he/she is authorised to sign Financial Statements.

APPOINTMENT OF THE "FINANCIAL SIGNATORY" ROLE

The authorized persons to sign the Financial Statements must be granted the role of "Financial Signatory" in the Research Participant Portal, by the organisation LEAR – Legal Entity Appointed Representative.

A Participant Contact can find the name of the LEAR for its organization going to "My Organizations" section of the Participant Portal and then clicking on the name of the organization at issue.

To assign the role of "Financial Signatory" to an authorised person in the organisation, the LEAR shall follow these instructions.

1) Go to the Participant Portal
2) Log in with the LEAR ECAS credentials (making sure that the "external" domain is selected)
3) Go to the "My Organisation(s)" area (from the menu on the left top of the page)
4) Go to the "Organisation roles" function (clicking on the OR icon in blue that is available at the line of your organisation)
5) Click on the EDIT ORGANISATION ROLES button
6) Click on the ADD ROLE button to nominate persons to a role.
7) Choose the new role "Financial Signatory" from the drop-down menu and encode name, first name and email address of the person
8) Add a comment to indicate for which department or for which projects the person can sign Forms C.
9) Once clicked "OK" the person(s) nominated will receive a notification on their nomination. Persons not yet having an ECAS account (linked to the email that you encoded) will be invited to create one.

The link between a particular Financial Signatory (from the list you have encoded) and a specific project will be made by one of the Participant Contacts of the respective project according to the following procedure:

1) Go to the Participant Portal
2) Log in with the PaCo ECAS credentials (making sure that the "external" domain is selected)
3) Go to "My Project(s)" area (from the menu on the left top of the page)
4) Click on the "PC" (Project Consortium) command in yellow that is available at the line of intelWATT Project
5) Then click on the "EDIT ROLES" command available at the line of your organisation
6) Click on "ADD ROLES" command at the bottom of the table that is displayed
7) Add the FSIGN to the project roles.

Please note that the LEAR (or his/her account administrators) can nominate and revoke Financial Signatories at any moment.

4.6.5.2   CFS and COM(AV)

Certificates on Financial Statements and eventually Certificates on the methodology shall be obtained timely after the approval of the Financial Statements by the PC.

It is therefore strongly advised to find and reach an agreement with an Auditor within the first 6 months of the project, providing the schedule of the Periodic Reporting requested, in order to ensure its availability.

The Auditor may also be helpful in indicating the kind of records that will be requested to fulfil the certificate provisions.

It is also suggested to provide the Auditor with the Financial Statements submitted to the Coordinator before its approval, for initial verification, in order to speed the process of auditing up.

4.6.5.2.1 Upload of the CFS or COM(AV) in the Financial Statement

Certificates on the financial statements (CFS) and on the methodology (COM(AV)) must be printed, dated, stamped and signed by an authorised person of the auditing entity. The original must be kept in the project archives of the partner, and a scan in .pdf must be attached to the Financial Statements related to the last reporting period in the Participant Portal Grant Management Service.

To attach the document, the choice box related to point 4 (COM(AV)) and/or 5 (CFS) of the Financial Statement must be flagged (as answering the question "Is there a certificate..."). Once flagged, the icon "Upload CErtificate" will appear, to allow uploading of the document in the Form.

4.6.6 Timing

All partners are requested to prepare their Financial Statements form through the Participant Portal Grant Management Service by 20 calendar days after the end of the reporting period.

The PM and PC will then review Financial Statements and accept or reject them, within 15 calendar days.

Once approved, any needed Certificate of Financial Statements will have to be obtained and uploaded by the partners and the Financial Statements shall thus be signed and submitted by the partners through the Participant Portal Grant Management Service within a maximum of 15 calendar days, and in any case within the indicated deadlines.

4.7 Deliverables generation

4.7.1 Purpose

Project Deliverables serve as the outcome of Work Package technical progress. They consist of a combination of documents such as written reports as well as non-document deliverables (prototypes, demonstrators, etc.).

The EC requires that all non-document deliverables be documented appropriately as a written report as well – thus a brief written summary shall be produced to accompany this kind of deliverable.

The intention of the deliverable generation and review process is to ensure the highest quality of intelWATT results.

As a general rule, the same purpose, responsibilities and procedures of the Deliverables are valid also for Milestones.

4.7.2 Quality standards

The deliverables should always meet a set of quality criteria, as described below:

- CRITERIUM A: Completeness and correctness. Information provided in the deliverable should cover all the points described in the DoA, must be reliable corrected and verifiable. This means that all background information used in the reports should be appropriately supported by references and supporting information.
- CRITERIUM B: Accuracy. Information used in the deliverable report should be focused on the key issues and be clearly written in line with the scope of the specific research work carried out and its specific target audience

- CRITERIUM C: Relevance. All information used should be provided to the depth needed for the purpose of the reports, according to the project and program objectives.
- CRITERIUM D: Appearance and structure. Although deliverable reports will be authored by different partners, it is important that reports are prepared with uniform appearance and structure, such that they appear as originating from a single initiative.
- CRITERIUM E: Readability: the documents should be concise and focus on the issues specified in the DoA. Any extra material that is deemed relevant to aid the understanding of the document itself shall be included as annex.
- CRITERIUM F: Punctuality. The report should be released on time to be delivered at the latest on the date specified in the DoA

4.7.3 Responsibilities

Partners responsible of the preparation and release of the Deliverables are indicated in EC-GA Annex I (DoA) as their "Lead beneficiary". In order to produce the planned deliverables, they will gather contributions from both Task Leaders and all partners participating to the relevant Task and they will be supported by the leader of the WP of reference.

The deliverables will be presented to the PC, which is then responsible for reviewing, approving and then delivering the deliverables to the EC, within the contractual deadline.

For each written deliverable, the following roles are defined and indicated in the cover page of the deliverable:

- Authors: members of the entity that is responsible for the completion of the deliverable
- Contributors: members of the Partner entities that have given inputs to the entity responsible for the release of the deliverable
- Reviewers: members of the Partner entities that eventually actively reviewed the document, besides the PC.

Moreover, any external Reviewers that are appointed by the EC for the periodic project reviews shall be referred to as the *EC Reviewer*.

4.7.4 Procedure

Deliverables and milestones shall be completed on time. If any deliverable or milestone due in the period is late, an explanation for this MUST be given, as well as the anticipated completion date. Due the complexity of the project, please consider that delays cannot be afforded, therefore all partners are invited to warn well in advance if there might be any issue preventing the completion of the work.

Progress on deliverables or milestones shall be reported periodically (in correspondence with the Resources Progress Reports and/or Technical Progress Reports) by the owner in the dedicated part of the collaborative platform.

Deliverables must be prepared throughout the related task time, and just the related report/accompanying report be prepared in the last month of the task.

Templates for the deliverable reports and accompanying reports are available in the collaborative platform. Reviews shall be made using Word Track Changes, and always indicating in the comments the Short name of the reviewing partner.

The process of generation of the Deliverables reports is organised as follows:

Table 20 Deliverables production process

PROCESS OWNER	Main activities	Details	Timing
WP coordinator	Deliverable development plan (DDP)	• Proposed contents • Roles of partners • Division of work	DDP ready -8 week before the deadline
WP partners	Inputs required	• Work according to the plan • Collecting data and information required	
WP coordinator	Documents composition and added value	• Collecting information • Final draft composition	
Reviewers	Comments	Comments from reviewers sent back to the WP Coordinator	Draft version ready -4 week before the deadline
Partners Peer Review	Quality check and final revision	The final review by WP partners and WP coordinator	Final version ready - 2 week before the deadline
Project Coordinator	Final Validation	Project Coordinator submits the deliverables report to the European Commission through the Participant Portal	Final version

Please note that for each step of deliverable generation and review – especially in case of Reports – a note shall be added in the Document Log, after the cover page.

The review process is part of the preparation of the deliverable and WP leaders and PC shall take appropriate steps to ensure that the review is completed and the deliverable issued and sent to the EC within the due date. The Project Coordinator is responsible for the submission of the deliverables in the European Commission, but the final goal could be reach only with the collaboration of all partners involved in the deliverable writing.

In order to assure the quality criteria presented in the document, deliverables must be in final draft at least two weeks before the deadline undergo an internal review procedure from PC. Optionally, the PC will designate two persons of the Consortium to assist at peer review.

The designated partners write a short report, according to the form shown in Annex I. At least one week before the deadline, all feedback provided by the reviewer and the rest of partners is forwarded to the author of the deliverable, who updates and completes it.

Please note that if the WP Leader and the Reviewers, including the PC, do not agree to release the deliverable, the matter will be referred first to the Executive Management Board. In case the matter cannot be resolved by the Executive Management Board, the Strategic Management Board will be requested to address the issue and provide a binding solution.

4.7.5 Timing

Timings for each generation status are set by default by the EMDESK system and shall not be modified by partners.

If during the activities implementation any problem arises that prevents the completion of the work by the deadlines indicated and notified by email, the Executive Management Board and PC shall be promptly informed, in order to address the issue and find corrective actions. Timings will be then eventually modified upon PM indications.

4.8 Issues Management

The timely and effective management of any issue (technical, administrative or of relation between partners) that may arise will contribute to ensure the progress of the project.

Special attention is thus paid to this matter, and indications are given for each main type of issue.

4.8.1 Technical Issues management

If any issue arises in the frame of a WP, the issue should be notified by the partner to the related Task and WP Leader. The issue will be thus addressed first at WP Level, keeping the PC informed, considering:

- Possibility of a solution or work-around
- Possibility of another partner (or third party) assistance
- Impact on the WP schedule

In case of difficulties or impossibility in addressing the issue at WP level, the PM should be immediately alerted, and the EMB summoned to collectively address the issue.

If it is deemed that the issue will generate any shift in the WP schedule, the PM and EMB should be promptly alerted, in order to take the necessary actions (including amendment of the EC-GA Annex I (DoA), if necessary).

4.8.2 Risk Management

The intelWATT risk management procedure is defined in EC-GA Annex I (DoA). Several risks associated with the proposed WPs and the associated contingency actions have been specifically identified (see section 3.2.5 of Annex I DoA).

Risks will be managed by the WP Managers on an on-going basis through a Risk Register.

If any partner identifies any additional risks than those defined in EC-GA Annex I (DoA) and/or indicated in the risk register as provided by the WP Leaders, the partner should promptly advice the WP Leader and the PM, who will then start a risk management procedure.

Financial risks are to be managed by the PC in collaboration with WG, through constant monitoring of financial status of the consortium.

4.8.2.1 **Risk Management Procedure**

The procedure includes:
Risk identification
- by the EMB,
- RM in charge to submit a risk register to the SMB.

Risk assessment
- risk ranking by quality, time and resources by the SMB on inputs received from the RM.

Risk management
- actions to prevent and mitigate risks decided and distributed by the SMB
- PM in charge to identify the more suitable partners to handle each risk.

Further indications on Risk Management procedures will be separately given by the Risk Manager.

4.8.3 Administrative Issues management

If any issue arises in the frame of administrative/legal matter, the PM and the PC should be promptly notified. The PM and the PC will then verify the possible solutions, and eventually request the advice of the EC Administrative/Legal Officer.

4.8.4 Conflict Resolution

In the case of a technical, financial or procedural conflict arising among partners, there is a principle of amicable settlement whenever possible at the lowest decision-making body. For instance, if there is a dispute within a Work Package, the WP leader should in the first instance try and resolve the issue, with the aid of the Coordination Team if necessary.

Only if a resolution is not reached at the lowest level decision making body - and neither with the mediation of the Coordination Team - should the matter be raised with the SMB. The SMB will discuss the issues and vote on a resolution to achieve a binding solution. If necessary, individual partners can seek to convene an extraordinary meeting of the SMB, and all partners are able to propose resolutions to that Board.

4.8.5 Grievance Procedure

Should a partner wish to complain about any member of the Consortium, the first action should be to document, in detail, the grievance, communicating this in private to the Coordination Team.

The individual concerned will then be given a right to reply to the complaint, again, in private.

The Coordination Team will then work to resolve the complaint to the satisfaction of both parties. Partners should refrain from making personal attacks or remarks against any individual.

4.9 Dissemination guidelines and procedures

4.9.1 Dissemination Management

4.9.1.1 Distribution of responsibilities

According to the Article 29.1 of the EC-GA "Each beneficiary must – as soon as possible – 'disseminate' its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium)." Therefore, every possible opportunity will be embraced by individual partners or on collective basis through joint appearance to make intelWATT known among technicians and general public as well.

All partners of the consortium must contribute to the dissemination according to their foreseen role and effort and using all available tools - thus for instance by participating and giving presentations at conferences, publishing papers, holding press conferences, networking and similar activities - and will strive

to maximize the existing dissemination channels for the purpose of project result adoption and successful of intelWATT outputs.

WP10 Leader, WG, manages the external communication with the collaboration of the PC and all partners. To manage the external communication and the publication of intelWATT related text/images/videos in whatsoever form (magazines, newspapers and papers for conferences, workshops and seminars, etc.) the Consortium also avails itself of a D&NM, Isella Vicini of Warrant Hub.

All draft articles must be sent to the PC before publication or production for reporting and archiving purposes. This will allow checking if they fulfil the dissemination requirements or whether they conflict with other existing papers. Moreover, the Coordination Team will decide whether it is appropriate to make the document accessible on the Project website.

In order to coordinate dissemination activities, each partner has nominated an internal contact point who is responsible for dissemination issues and reporting. Here below the list of the Dissemination Team.

Table 21 Dissemination Team Members

Dissemination Team Members		
Partner Short Name	**1st representative**	**2nd representative**
1 - NCSR	Fotios Katsaros	
2 - CNR	Enrica Fontananova	Elena Tocci
3 – CNRS	Mihail Barboiu	
4 - PPC	Christos Nyxtis	
5 - WG	Isella Vicini	Sara Attanà
6- TH KOLN	Stephan Barbe	
7 – UoB	Philip Davies	
8 - POLITO	Andrea Lamberti	
9 - CUT	Ines Bettermann	
10 – BIA Group	Felix Heinzler	
11 - FUELICS	Evangelos Angelopoulos	
12 - IHE DELFT	Nirajan Dhakal	
13 - Studio Fieschi	Ugo Pretato	
14 - TECHEDGE	Fabio Cerioni	
15 - ACSA	Beatriz Corco	
16 - UJ	Rund Abu Zurayk	
17 – REDSTACK	Jordi Moreno	
18 - CIEMAT	Guillermo Zaragosa	
19 - NIJHUIS WATER	Wilbert Menkveld	
20 - NOKIA GREECE	Andreas Tzoulis	

4.9.2 Dissemination policy and rules

Dissemination activities in intelWATT project are deeply wedded with the intellectual property (IP) rights protection which is clearly stated in the Annotated Model Grant Agreement- Art.27.

Practical application of IP rights protection agreed among intelWATT project partners is adjusted in the Consortium Agreement (CA) in Sections 9-10.

The main aspects of IP rights protection are the following:

- Common agreement on publication of other partners' confidential information or any other information subjected to their IP rights.
- Setting up the dissemination rules and procedures to avoid any potential breach of any partner's IP rights, especially rules and procedures for intelWATT project results publications.
- Understanding the difference between the interests of academia and industry partners of intelWATT project. The academia partners tend to publish all information they have at disposal which is caused by academia common motivation systems while the industrial partners' decision whether, when and where to publish depends on commercial considerations.

The basic regulation of the dissemination activities agreed among intelWATT project partners is detailed in the draft Consortium Agreement, at Art. 8.4.2 Dissemination of own Results

8.4.2.1 *During the Project and for a period of 1 year after the end of the Project, the dissemination of own Results by one or several parties including but not restricted to publications and presentations, shall be governed by the procedure of Article 29.1 of the Grant Agreement subject to the following provisions.*

Prior notice of any planned publication shall be given to the other Parties at least 30 calendar days before the publication.

Any objection to the planned publication shall be made in accordance with the Grant Agreement in writing to the Coordinator and to the Party or Parties proposing the dissemination within 15 calendar days after receipt of the notice. If no objection is made within the time limit stated above, the publication is permitted.

8.4.2.2 *An objection is justified if*
  a) *the protection of the objecting Party's Results or Background would be adversely affected*
  b) *the objecting Party's legitimate interests would be significantly harmed or*

The objection has to include a precise request for necessary modifications.

8.4.2.3 *If an objection has been raised the involved Parties shall discuss how to overcome the justified grounds for the objection on a timely basis (for example by amendment to the planned publication and/or by protecting information before publication) and the objecting Party shall not unreasonably continue the opposition if appropriate measures are taken following the discussion.*
8.5 *The objecting Party can request a publication delay of not more than 90 calendar days from the time it raises such an objection. After 90 calendar days the publication is permitted.*
8.5.1 *Dissemination of another Party's Results or Background*
A Party shall not include in any dissemination activity another Party's Results or Background without obtaining the owning Party's prior written approval, unless they are already published.
8.5.2 *Cooperation obligations*
The Parties undertake to cooperate to allow the timely submission, examination, publication and defense of any dissertation or thesis for a degree that includes their Results or Background subject to the confidentiality and publication provisions agreed in this Consortium Agreement.
8.5.3 *Use of names, logos or trademarks*

Nothing in this Consortium Agreement shall be construed as conferring rights to use in advertising, publicity or otherwise the name of the Parties or any of their logos or trademarks without their prior written approval.

Each Party shall be entitled to use any logo or trademark of the Project royalty-free and on a non-exclusive basis for the execution of the Project only, even if such logo or trademark has been filed by a single Party only. The Parties shall agree on further rules on use of the logo and/or trademark of the Project and its possible needed protection measures in a specific agreement.

4.9.3 Clearance Procedure and Simplified Clearance Procedure

Dissemination activities including but not restricted to publications and presentations shall be governed by the procedure of **Article 29.1 of the GA** subject to the following provisions.

"A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 30 days, together with sufficient information on the results it will disseminate.

Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests".

A simplified procedure will be discussed in the Technical Periodical Meeting in June

4.9.4 Publication of Public Deliverables and Working Documents

Public Deliverables are meant for direct publication by the EC on the EC portal once submitted by the PC.

Therefore, the Lead Beneficiaries and PC will ensure that deliverables that are marked Public do not include any confidential information, sensible data, foreground or results that have not been previously approved by the whole Consortium for publication.

After submission to the EC, Public Deliverables will be uploaded also on the Project Website and will be available for distribution by the partners to any targeted audience.

4.9.5 Project Website

Project websites are one of the main communication tools of projects funded under Horizon 2020 Programme. To ensure maximum visibility to the intelWATT objectives and results we have set up a project website registered in the "eu" domain with intuitive URLs to increase hit rates: www.intelwatt.eu
The design of the website builds upon the following criteria and taking into account suggestions given in the EU Project Websites – Best Practice Guidelines (EC, 2010):

  i. **visual communication**: use of colours and/or photos, web pages are easy to browse, information is kept short and links are included to websites, publications, and so on.
  ii. **verbal communication**: the website uses simple phrasing, no jargon is used in order to attract the widest possible audience, e-devices are user friendly.
  iii. **visibility:** maximum use of free or affordable methods to increase page ranking on search engines, Webmaster Tools provided by search engines to check indexing status, good cross-linking between the different pages of your site and other sites, add keywords to the web page metadata; use frequently used keyword search phrases both in the metadata and in the contents pages.

iv.   **regular update of contents:** the website is maintained by WG and the update will be regularly done by the Webmaster upon inputs of the D&NM and of partners, the use of social media (e.g. blogs, social networks) has been implemented as well.

Monitoring and feedback tools: the website includes: a counter of visitors or other statistical tools that will be used to measure the number of visits.

A specific deliverable D10.1 will present the project website at M3.

4.9.6 Use of project identity

A common graphic identity has been defined to allow for better visibility and recognition as well as branding of the intelWATT project.

Therefore, all dissemination tools and activities must refer to or include:

- the name of the project,
- the project's website URL (www.intelwatt.eu/),
- the intelWATT project logo

- acknowledgements to EC public funds, displaying the EU emblem and including the following text:

    "This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 958454."

    Indication that it reflects only the author's view and that the Commission is not responsible for any use that may be made of the information it contains.

Project graphic identity (LOGO), leaflet and poster will be presented in D10.2 at M3.

4.10 Exploitation & IPR procedures

4.10.1 Exploitation actions and responsibilities

Co-operation between the partners, during and after the project, plays an essential role in the successful exploitation of the innovations originated in intelWATT. Each partner, and especially industries will plan how to turn the results of the project into commercial products. The actions are reported in the "Exploitation Plan and Activities results" that will be prepared during the project (Deliverable D.10.3 at M6).

The **Exploitation Manager (EM)** as the responsible for advices-reporting on the exploitation of the Project's results. The Exploitation Manager is Thijs Wolbrink**,** a NI Representative, and was officially appointed during the Kick-off Meeting on the 29th -30^{-th} October 2020.

The Exploitation Manager shall:

- coordinate and implement exploitation activities in collaboration with the SMB
- keep in mind the strategic viewpoint of the enterprises (both industries and SMEs) and, whenever required, present such vision to the SMB

- be always updated on the progresses of the Project and of current IPR scenario in order to detect potentially exploitable results
- make sure that technological progress remains consistent with the industrial perspective and assist the PC to evaluate the impact of the project from an industrial point of view
- propose IPR and exploitation strategies and (eventual) associated updates to the CA
- contribute to the preparation of the Exploitation and Business Plan documents
- contribute to proper exploitation of the results by helping industrial Signatory Parties to prepare adequate business plans and/or to get, if required, auxiliary funds for further industrialization of products and processes
- monitor the use of resources for exploitation issues.

4.10.2 IPR management procedures

The management of IPR is strictly ruled by the Consortium Agreement (CA) which includes all provisions related to the management of IPR including ownership, protection and publication of knowledge, access rights to knowledge and pre-existing know-how as well as questions of confidentiality, liability and dispute settlement.

In the CA the Partners have identified the background knowledge included in the Attachment 1.

The CA regulates the ownership of generated results (Section 8 of the CA):

8.1 Ownership of Results
Results are owned by the Party that generates them.

8.2 Joint ownership
Joint ownership is governed by Grant Agreement Article 26.2 with the following additions:

Unless otherwise agreed: in a separate written agreement between the respective Parties
- *each of the joint owners shall be entitled to use their jointly owned Results for non-commercial research activities on a royalty-free basis, and without requiring the prior consent of the other joint owner(s), and*
- *each of the joint owners shall be entitled to otherwise Exploit the jointly owned Results and to grant non-exclusive licenses to third parties (without any right to sub-license), if the other joint owners are given:*
  (a) at least 45 calendar days advance notice; and
  (b) Fair and Reasonable compensation, which will be defined in a specific agreement among the relevant parties.

8.3 Transfer of results
Each Party may transfer ownership of its own Results following the procedures of the Grant Agreement Article °30.

It may identify specific third parties it intends to transfer the ownership of its Results to in Attachment (3) to this Consortium Agreement. The other Parties hereby waive their right to prior notice and their right to object to a transfer to listed third parties according to the Grant Agreement Article 30.1.

The transferring Party shall, however, at the time of the transfer, inform the other Parties of such transfer and shall ensure that the rights of the other Parties will not be affected by such transfer. Any addition to Attachment (3) after signature of this Agreement requires a decision of the Strategic Management Board.

The Parties recognize that in the framework of a merger or an acquisition of an important part of its assets, it may be impossible under applicable EU and national laws on mergers and acquisitions for a

Party to give the full 45 calendar days prior notice for the transfer as foreseen in the Grant Agreement.

The obligations above apply only for as long as other Parties still have - or still may request - Access Rights to the Results.

4.11 Gender Issues

All partners are kindly asked to employ equal opportunities for both men and women in project activities (management, research). The consortium will ensure that gender issues, if arising, will be properly and justly addressed and further ensure gender equality during the entire project lifecycle, in terms of accessibility to work, salary and working conditions.

Regarding employment policies of the partners, all partners are committed to ensure equal employment rights for female and male applicants for their normal operation and including the management and implementation of the intelWATT project.

All advertisements for the doctoral, postdoctoral and all other positions offered by intelWATT partners in the frame of the intelWATT project will specify the commitment to equal opportunities, with applications from women and men equally welcome, and selection based on merit and the potential of individuals.
When the partners will be able to choose between otherwise equally able candidates, gender balance should be considered in the selection criteria, possibly supporting the application of women with young children.
intelWATT partners are encouraged to adopt distance working and flexible working hours when compatible with the project activities, in order to facilitate the reconciliation of work and private life.
In summary, the intelWATT consortium will overcome gender issues by:

- Involving female managers in the coordination and teams (scientific and administrative);
- Promoting integration of female researchers, engineers and project staff;
- Encouraging the participation of female students, pupils and young scientists in training and dissemination actions.

4.12 Useful links

Annotated Model Grant Agreement
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

Finance-Helpdesk:
http://www.finance-helpdesk.org/

IPR Helpdesk:
http://www.iprhelpdesk.eu/

Research Participant Portal – Login:

https://webgate.ec.europa.eu/cas/login?domain=external&loginRequestId=ECAS_LR-4968114-HsijnuK5GwZ9af4rVrZ7vwWQ3BqWD2RNzJXo1uqGT7tzxzPjURjEkkUwLSuourPI4FZKjiZIyhPaVHdL94jISHm-Jj71zxYb8yrbxnVzmV2qoa-HnUhUPaAYzv736INzRR3fq0uL1Z0xqTrgKhgf31OMAze

Research Participant Portal – H2020 Documents:
http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

intelWATT website:
www.intelwatt.eu

intelWATT collaborative platform:

https://app.emdesk.com/#!/signup

Annex I

Procedures used for peer review

The intelWATT Consortium identified a peer review process for its internal quality assurance for deliverables to assure consistency and high standard for documented project results. The Peer Review is processed individually by selected reviewers. The allocated time for the review is about two weeks. The author of the document has the final responsibility to collect the comments and suggestions from the Peer Reviewers and decide what changes to the document and actions are to be undertaken.

Overall Peer Review Result

Deliverable is			
☐ Fully accepted	☐ Accepted with reservation	☐ Rejected unless modified as suggested	☐ Fully rejected

Comments of Peer Reviewers

One table for each reviewer

Peer Reviewer: [name and surname – partner acronym] Deliverable reviewed: [Dx.y]			
Review Result			
Deliverable should be			
☐ Fully accepted	☐ Accepted with reservation	☐ Rejected unless modified as suggested	☐ Fully rejected
General Comments			
Specific Comments			

CRITERIUM A: Completeness and correctness   **Reviewer comment:**   **Author response:**
CRITERIUM B: Accuracy   **Reviewer comment:**   **Author response:**
CRITERIUM C: Relevance   **Reviewer comment:**   **Author response:**
CRITERIUM E: Readability   **Reviewer comment:**   **Author response:**
CRITERIUM F: Punctuality   **Reviewer comment:**   **Author response:**